

#5 2652 5-8-01

TRANSMITTAL LETTER			Case No.
Serial No. 09/470,428	Filing Date December 22, 1999	Examiner To Be Assigned	8864/8
Inventor(s) Griffith D. Neal		Group Art Unit 2754	
Title of Invention High Speed Spindle Motor For Disc Drive			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Transmittal Letter (in duplicate), Third Supplemental Information Disclosure Statement, PTO-1449, copies of references D1 to D27 and return post card.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

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	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

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FEB 02 2001  
PATENTS TRADEMARK OFFICE

Small Entity	
Rate	Add'l Fee
x \$9=	
x 39=	
+\$130=	
Total add'l fee	\$

Other Than Small Entity	
Rate	Add'l Fee
x \$18=	
x \$78=	
+\$260=	
total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Steven P. Shurtz  
Steven P. Shurtz  
Registration No. 31,424  
Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on January 31, 2001.

Date: 1/31/01 Signature: Steven P. Shurtz

rev. Dec.-99

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I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to: Commissioner for Patents  
Washington, D.C. 20231 on

January 31, 2001

Date of Deposit

Steven P. Shurtz, Reg No. 31,424

Name of applicant, assignee or  
Registered Representative

*Steven P. Shurtz*

Signature

1/31/01

Date of Signature



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Our Case No. 8864/8

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Griffith D. Neal

Serial No. 09/470,428

Filing Date: December 22, 1999

For HIGH SPEED SPINDLE MOTOR  
FOR DISC DRIVE

)  
)  
)  
) Examiner: To Be Assigned

)  
) Group Art Unit: 2754  
)  
)

### THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Third Supplemental Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed.

### U. S. PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	NAME
4,128,527	12/05/78	Kinjo et al.
4,352,897	10/05/82	Ogata et al.
4,387,311	06/07/83	Kobayashi et al.
4,679,313	07/14/87	Schultz et al.
4,760,299	07/26/88	Dickie et al.
4,868,970	09/26/89	Schultz et al.
4,954,739	09/04/90	Schultz et al.
5,008,572	04/16/91	Marshall et al.
5,694,268	12/02/97	Dunfield et al.
5,751,085	05/12/98	Hayashi
5,880,179	03/09/99	Ito et al.
5,942,824	08/24/99	Shioya et al.
6,002,185	12/14/99	Nakao et al.

### FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY
05336722	12/17/93	Japan
10070870	03/10/98	Japan
11082508	03/26/99	Japan

Most of the U.S. patent references were recently cited in co-pending U.S. applications and the Japanese references and one U.S. patent were recently cited in an official communication received for a corresponding PCT application, a copy of which is enclosed. Most of the references are in English. For those that are not, an English language abstract is also enclosed. The search report, abstract and any drawings provide an explanation of the relevance of the non-English references to the best understanding of the Applicant and his attorney.

Applicant also notes that he is an inventor on the following pending U.S. patent applications, which are to be made of record.

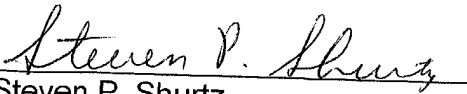
Date:	Application
22-Dec-1999	09/470,432
22-Dec-1999	09/470,434
22-Dec-1999	09/470,430
22-Dec-1999	09/470,429
22-Dec-1999	09/470,427
22-Dec-1999	09/470,431
22-Dec-1999	09/470,433
22-Dec-1999	09/470,425
22-Dec-1999	09/470,426
22-Dec-1999	09/470,424
15-Dec-2000	09/738,268

All of the above listed applications that were filed on December 22, 1999 have a nearly identical specification (text and drawings) as compared to the present case. Therefore, copies of those specifications are not attached. However, copies of the claims from these applications, with the serial number and filing date identified on the top of each page, and a copy of the specification and claims for Serial No. 09/738,268 are enclosed.

This Third Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b) and, therefore, no fees are believed to be due in connection with filing of this Third Supplemental Information Disclosure Statement. However, should there be any fees deemed necessary under 37 C.F.R. §§ 1.16 to 1.21 for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant respectfully requests that the listed documents be made of record in the present case.

Respectfully submitted,



Steven P. Shurtz  
Registration No. 31,424  
Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

Dated: January 31, 2001



FORM PTO-1449	SERIAL NO. 09/470,428	CASE NO. 8864/8
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b> (use several sheets if necessary)	FILING DATE December 22, 1999	GROUP ART UNIT 2754
	APPLICANT(S): Griffith D. Neal	

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	D1	4,128,527	12/05/78	Kinjo et al.		
	D2	4,352,897	10/05/82	Ogata et al.		
	D3	4,387,311	06/07/83	Kobayashi et al.		
	D4	4,679,313	07/14/87	Schultz et al.		
	D5	4,760,299	07/26/88	Dickie et al.		
	D6	4,868,970	09/26/89	Schultz et al.		
	D7	4,954,739	09/04/90	Schultz et al.		
	D8	5,008,572	04/16/91	Marshall et al.		
	D9	5,694,268	12/02/97	Dunfield et al.		
	D10	5,751,085	05/12/98	Hayashi		
	D11	5,880,179	03/09/99	Ito et al.		
	D12	5,942,824	08/24/99	Shioya et al.		
	D13	6,002,185	12/14/99	Nakao et al.		

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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO
	D14	05336722	12/17/93	Japan		Abstract
	D15	10070870	03/10/98	Japan		Abstract
	D16	11082508	03/26/99	Japan		Abstract

EXAMINER INITIAL	U. S. Patent Applications		
	Filing Date	Serial No.	
	D17 Dec. 22, 1999	09/470,432	copy of claims enclosed
	D18 Dec. 22, 1999	09/470,434	copy of claims enclosed
	D19 Dec. 22, 1999	09/470,430	copy of claims enclosed
	D20 Dec. 22, 1999	09/470,429	copy of claims enclosed
	D21 Dec. 22, 1999	09/470,427	copy of claims enclosed
	D22 Dec. 22, 1999	09/470,431	copy of claims enclosed
	D23 Dec. 22, 1999	09/470,433	copy of claims enclosed
	D24 Dec. 22, 1999	09/470,425	copy of claims enclosed
	D25 Dec. 22, 1999	09/470,426	copy of claims enclosed
	D26 Dec. 22, 1999	09/470,424	copy of claims enclosed
	D27 Dec. 15, 2000	09/738,268	copy of application as originally filed enclosed

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.